

**BY ORDER OF THE COMMANDER  
440 AIRLIFT WING**

**440TH AIRLIFT WING INSTRUCTION  
90-201**



**4 OCTOBER 2012**

**Special Management**

**SELF-ASSESSMENT PROGRAM**

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This instruction implements Air Force Policy Directive (AFPD) 90-2, *Inspector General-The Inspection Program*, AFI 90-201, *Inspector General Activities* as well as the *Air Force Reserve Command Supplement*. The purpose of this Airlift Wing Instruction (AWI) is to provide guidance in the implementation and maintenance of the Self-Assessment Program for the Executive Self-Assessment Team, Commanders and Self-Assessment Monitors throughout the 440 AW. Conducting an annual Self-Assessment of all squadrons/functional areas serves as an effective tool in identifying, tracking, and resolving anticipated and/or actual problems. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the Air force Form 847, *Recommendation for Change of Publication*; route AF Form 847 from the field through the appropriate functional's chain of command. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with AFMAN 33-363, *Management of Records*, and disposed of in accordance Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS) located at <https://www.my.af.mil/gess-af61a/afirms/afirms/>.

**SUMMARY OF CHANGES**

This instruction is substantially revised and must be completely reviewed. Additional resources listed in the SIM Quick Reference are located on the local shared drive. The Management Internal Control Toolset (MICT) is currently populated with Combined Unit Inspection (CUI) checklists.

**1. Background.**

1.1. Management Internal Control Toolset (MICT) is the Air Force's standard program for Self-Assessment. MICT will support all Self-Assessments and tracking responses for all inspections to include Compliance Inspection (CI), Health Services Inspection (HSI), Logistics Compliance Assessment Program (LCAP), and Aircrew Standardization and Evaluation (ASEV). To the fullest extent possible, MICT will also capture discrepancies and responses for Operational Readiness Inspection (ORI).

1.2. The MICT program, found through the AF Portal, <https://www.my.af.mil/reservenetprod/mic/mict/mymictview.aspx> is required for all 440 AW groups and squadrons to perform Self-Assessment (SA) processes online. MICT enables commanders, supervisors, higher headquarters, and other external agencies the capability through various access levels (permissions) to view all Self-Assessments.

1.3. MICT is an automated tool that is replacing hard copy processes and automated inspection programs and is a stand-alone program. Units must move forward to the automated MICT process and utilize Electronic Records Management (ERM) in order to properly document discrepancies and inspection results.

1.3.1. In order to be an efficient process, units are encouraged to use ERM. Maintaining a manual, paper or stand alone office program based process, is discouraged unless it is clearly marked "For Reference Only".

1.3.2. Additionally, units should readily review Crossfeed/Crosstell at AMC and AFRC IG Inspection websites and Joint Lessons Learned Information System (JLLIS) website at <https://www.jllis.mil.usaf> for updates and information sharing command-wide.

1.4. Unit SA monitors and Wing Program Owners will input discrepancies into the MICT program online in MICT and update their status on a periodic basis or as needed.

1.5. Assessable 440 AW units include 2 Airlift Squadron, and 43 Aeromedical Evacuation Squadron.

1.5.1. Pope Field units that fall under inspection purview of 440 AW will use MICT for Staff Assistance Visits (SAVs) on programs as defined by appropriate CONOPS, Memorandum of Agreements (MOAs), and Memorandum of Understanding (MOUs).

1.5.2. 440 AW Program Owners are responsible for ensuring the appropriate checklists are identified to all units under their inspection purview. Program Owners are listed in 4.4.1.

## **2. Objectives and Responsibilities.**

2.1. The 440 AW supports SA as the critical process for readiness and compliance for all missions. Each unit member and appropriate Program Owners must take responsibility to assess accurately for compliance and improve his or her Self-Assessment programs, according to the applicable AFRC Functional Area Manager (FAM) checklist or unit checklist. The Air Force has chosen MICT as the IG Self-Assessment tool for accomplishing and reporting Self-Assessments. Managing the MICT application will require continuous updates to ensure readiness and compliance.

2.2. Each FAM checklist has an associated frequency for Self-Assessment, which the commander may increase.

2.3. Commanders and senior members of each organization/unit/work center will automatically serve as primary Self-Assessment Monitors (SAM) and receive unit admin permissions, unless otherwise authorized. Commanders, supervisors and designated SIMs are responsible for the overall management of the SA program.

2.4. Commanders must appoint in writing a primary and alternate SA program manager. Send a copy of the appointed primary and alternate SA program manager to the Group SAM (if applicable), and to the wing SA program manager. (See [Attachment 2](#)). The primary and alternate SA responsibilities include developing procedures, overseeing compliance with the wing SA program and managing the MICT application.

### 3. Procedures.

3.1. Each unit and Program Managers will perform Self-Assessments twice each year in November (semi-annual) and by 1 May (per AFI 90-201\_AFRCSUP\_1, para 5.7.2) or as directed.

3.1.1. The MICT database will be the primary source for holding, identifying, and reporting for all discrepancies. Most, if not all, MAJCOM FAM applicable checklists are loaded in MICT by A Staff or functional designation. Non AFRC Checklists may be used to support unit and Program Owners assessment programs after coordination with AFRC FAMs.

3.1.2. Each group, squadron, flight or work-center appointed SA monitor is required to have a Self-Assessment program, using MICT. The Self-Assessment binder should be accessible for review by the group monitor and available in the event that the network enterprise (Internet, AF Portal or Local Area Network (LAN), ERM) is unavailable, such as during a communications outage. An alternate plan should be in place for possible LAN outages and alternate mediums, such as hard copies, with CDs/DVDs of Self-Assessments in place for viewing in a continuity binder. The Self Assessment binder should be clearly marked "For Reference Only".

3.2. MICT does provide MICT guest permissions for viewing Self-Assessments, provided and given access by the SA monitor.

3.3. As the SAM completes the Self-Assessment in MICT, all discrepancies must be identified and tracked for review and completion.

3.4. When entering a discrepancy into MICT, provide details as possible to indicate what the root cause is, such as thorough comments and documentation, a get-well date, and a corrective action plan.

3.4.1. All "Significant" and "Critical" discrepancies will require the creation and Air Force "8 Step" problem solving document to document the corrective action plan (CAP). The 8 Step is the Air Force's standard problem solving format as mandated in AFI 90-201. 440 AW/CCO will provide 8 Step training when such discrepancies are discovered.

3.4.2. Open discrepancies should be reviewed and updated periodically to note any progress made toward completion/closure.

3.4.3. All discrepancies tracked in MICT require leadership oversight to ensure all open discrepancies meet the annotated completion time and to reduce stagnation. Open

discrepancies should be reviewed by the Commander/Section Chief/Unit SA Monitor at least quarterly and should be an agenda item at Unit Executive/Senior Staff Meetings.

3.5. In MICT, \*discrepancies will be closed by a member assigned with MICT Supervisor permission—this requires careful consideration by the unit commander for appointment. Prior to closure, comments need to be added in the discrepancy field and or documentation needs to be uploaded in the support section by the OPR stating how the discrepancy was remedied and what process is in place to prevent the discrepancy from repeating. (\*A Root Cause Analysis in the form of an Air Force 8 Step, may be required and included as Crossfeed/Crosstell in JLLIS. Ratings received as Unsatisfactory, must support all responses with documentation and root cause analysis. The SAM will ensure the latest information is in MICT before completing the update.)

3.6. Findings found during inspections will be entered into MICT. The SAM should inspect and account for all FAM checklists tracked in MICT. Prior to SA closure, make sure that comments are completed in the discrepancy field and documentation required.

3.6.1. All discrepancies must be documented for remedy.

3.6.2. All discrepancies must have an identified root cause and corrective actions to take place to prevent the discrepancy from repeating. Once the discrepancy is ready for review by the clearing/closing agency, inform the Wing Self-Assessment Program Manager.

3.7. The Wing Self-Assessment Program Manager (440 AW/CCO) will track all findings, observations, and discrepancies identified during the Formal Inspections/SAVs to ensure timely closure and approval by HQ if required.

3.8. The Wing SA Program Manager (440 AW/CCO) will conduct SA Working Group Meetings, SA Executive Steering Group Meetings, and MICT training periodically and on an as needed basis.

3.8.1. SA Working Group meetings will occur quarterly and include unit inspection monitors and Wing Program Owners (see 4.4.1 for Program Owner listing).

3.8.2. SA Executive Steering Group Meetings are designed to inform Senior Leaders on SA program progress. It is chaired by the Vice Wing Commander and includes Group Commanders and their designated representatives. This meeting is scalable and may include working group representatives in advance of external agencies inspecting the 440 AW.

#### **4. Requirements.**

4.1. The wing Self-Assessment program manager (440 AW/CCO) will:

4.1.1. Maintain a copy of all current SA appointment letters within the wing.

4.1.2. Ensure the SA program meets directives and communicate changes or unique inspection elements.

4.1.3. Coordinate permissions (administrative rights) for use of the MICT program for all authorized monitors based on appointment letters.

4.1.4. As required, appoint an OPR for each Special Interest Item (SII) to accomplish, research and report findings/results back to the wing SI program manager. Additionally, monitor the status of all SIIs and report to higher headquarters as directed.

4.1.5. Ensure each group establishes an effective process for tracking and closure of discrepancies identified for unit developed checklists for SAVs, ORIs, LCAP, UCIs and SIIs.

4.1.6. Routinely review pertinent external CI reports, Crossfeed/Crosstell and JLLIS to determine how such discrepancies would affect the wing. Electronically distribute to group level for dissemination.

4.1.7. Communicate to commanders and group monitors through e-mail or other electronic media, changes or unique program elements found on the HQ AFRC/IG web pages.

4.1.8. Monitor all group discrepancies using the MICT database.

4.1.9. Review the results of Self-Assessments and ensure GP/CC has vetted. Certify group inspections are complete and use MICT as the source of record for documenting completion.

4.1.10. The wing SA manager will then report Self-Assessment results to the wing commander.

4.1.11. Provide training and assistance as requested by group, squadron, flight or work-center monitors.

#### 4.2. The Group SAM will:

4.2.1. Reinforce to squadron managers the use of the MICT program and other unit compliance inspection processes as appropriate. Monitor discrepancies and suspense dates using MICT.

4.2.2. Notify their group commander of discrepancies identified by subordinate organizations in MICT, which require assistance.

4.2.3. Review IG Crossfeed/Crosstell material periodically. Communicate pertinent material benchmarking information to all squadron and work-center SA monitors. Periodically remind SA monitors to check the HQ AFRC/IG website for updates to their programs.

4.2.4. Ensure appointment letters are on file for all group, squadron, flight or work-center SAM.

4.2.5. Ensure Self-Assessments are in compliance as directed according to guidance. Confirms completion results for all inspections in MICT and briefs group commander and other senior leadership as required.

4.2.6. Provide training and assistance as requested by squadron, flight or work-center monitors. 4.2.7. Participate in the scheduled SA Working Group Meetings to capture and use information as provided by the Program Owners in order to support administration and operations of unit level programs.

#### 4.3. Squadron, flight or staff agency SAM will:

4.3.1. Review pertinent inspection documents provided online at AFRC and AMC IG Inspections websites, as well as other external compliance reports as appropriate. Determine how discrepancies affect the functional area.

4.3.2. Input discrepancies into the MICT database. Review open discrepancies monthly to include changing the follow-up or estimated completion date, if required.

4.3.3. Ensure Self-Assessments comply with guidance as directed. Uses MICT to capture completion data and briefs unit commander and appropriate senior leaders on inspection status.

4.3.4. Inform Commanders and unit managers of results and recommendations for corrective action.

4.3.5. Participate in the scheduled SA Working Group Meetings to capture and use information as provided by the Program Owners in order to support administration and operations of unit level programs.

4.4. The Wing Program Owners will:

4.4.1. Conduct SAVs internal to 440 AW on Air Force programs for which they are responsible. Wing level Program Owners include but are not limited to: A1, FSS; A2, Intel; A3, Command Post and Operations Group; A4, LRS and Maintenance Group; A5/8, Performance Planner; A6, Communications Flight; A7, Anti-Terrorism/Force Protection and Information Protection; Medical Squadron, Chaplain, Judge Advocate, Equal Opportunity, Sexual Assault Response Program, Finance, Historian, Anti Terrorism/Force Protection, Information/Installation Protection, Public Affairs, Wing Fitness, and Bio Environmental.

4.4.2. Wing Level Program Owners will publish annual SAV schedule reflecting a June to May twelve month inspection cycle in order to support the annual Statement of Assurance due to FM by EOM May each FY.

4.4.3. Program Owners will produce appropriate metrics, provide program updates, inspection information, Crossfeed/Crosstell information, at the scheduled SA Working Group Meetings.

NORMAN R. HAM JR, Brig Gen, USAFR  
Commander

**Attachment 1****GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

AFPD 90-2, *Inspector General—The Inspection System*, 26 April 2006

AFI 90-201, *Inspector General Activities*, 17 June 2009

AFI 90-201\_AFRCSUP\_1, *Inspector General Activities Air Force Reserve Command Supplement*, 10 March 2007

AFI 90-1601, *Air Force Lessons Learned Program*, 22 September 2010

AFMAN 33-363, *Management of Records*, 1 March 2008

Adopted Forms

AF Form 847, Recommendation for Change of Publication

***Abbreviations and Acronyms***

**AFMAN**—Air Force Manual

**AFPD**—Air Force Policy Directive

**ARCNET**—Net Centric Reservist Management Application

**ASEV**—Aircrew Standardization/Evaluation Visit

**AWI**—Airlift Wing Instruction

**CAP**—Corrective Action Plan

**COB**—Close of Business

**CUI**—Combined Unit Inspection

**FAM**—Functional Area Manager

**HSI**—Health Services Inspection

**HQ**—Headquarters

**JLLIS**—Joint Lessons Learned Information System

**LCAP**—Logistics Compliance Assessment Program

**MICT**—Management Internal Control Toolset

**MSEP**—Maintenance Standardization Evaluation Program

**OPR**—Office of Primary Responsibility

**POC**—Point of Contact

**RDS**—Records Disposition Schedule

**SA**—Self-Assessment

**SAM**—Self-Assessment Monitor

**SAV**—Staff Assistance Visit

### *Terms*

**Adopted Form**— a form used (required) in a publication other than the prescribing publication.

**Approval Authority**— senior leader responsible for contributing to and implementing policies and guidance/procedures pertaining to their functional area(s) (e.g., heads of functional two-letter offices).

**Authentication**— required element to verify approval of the publication; the approval official applies their signature block to authenticate the publication. The signature block includes the official's name, rank and title (not signature).

**Certifying Official**— a minimum of one organizational level above the OPR, this individual certifies the need for the publication, to include currency of information, applicability to the Air Force and propriety of content.

**Directive Publication**— publication that is necessary to meet the requirements of law, safety, security or other areas where common direction and standardization benefit the Air Force. Air Force personnel must comply with these publications. All publications in this category carry the following statement: "COMPLIANCE WITH THIS PUBLICATION IS MANDATORY".

**Distribution**— defines the type of accessibility for each publication; to whom the publication may be released.

**e- Publishing** —central website for accessing, viewing, downloading and printing electronic products; physical products may be ordered from the e-Publishing website. Information on product development and links to other agency publications are also provided on the e-Publishing website [www.e-publishing.af.mil](http://www.e-publishing.af.mil).

**Form**— a tool used for the collection , recording and/or extraction of information whereby a predetermined set of data fields have been established and defined to meet a definitive Air Force purpose or objective.

**Mandatory Coordination**— required review by selected offices prior to publication. Mandatory coordinators review draft publications for specific functional and/or legal purposes.

**Office of Primary Responsibility**— the originating office for a publication; the author of the publication is an individual within the OPR. OPRs are solely responsible for the accuracy, currency and integrity of their publications and forms.

**Publication**— an officially produced, published and distributed document issued for compliance, implementation and or information. Includes Policy and Guidance Memorandums.

**Records Disposition Schedule (RDS)**— the official schedule that authorizes/governs the disposition of Air Force records, which contains National Archives and Records Administration (NARA) approval authority.

**Technical/Functional Coordination**— review of draft publications by technical/functional experts prior to publication. The list of technical/function coordinators changes with each publication, based on the contents and applicability of the publication.



**Attachment 2**

**SAMPLE APPOINTMENT LETTER**

Day Month Year

MEMORANDUM FOR 440 AW/CCO

FROM: OFFICE SYMBOL

SUBJECT: Appointment of Self-Assessment Monitors

1. The following personnel have been appointed as Self-Assessment Monitors for the 328<sup>th</sup> Airlift Squadron IAW AWI 90-201.

Primary 2Lt John Doe

Alternate MSgt Mary Smith

2. All previous editions of this letter are obsolete.

WALTER P. JONES, Lt Colonel, USAFR

Commander